



*State of North Carolina
Department of Correction
Division of Prisons*

Chapter: A
Section: .0900
Title: **Employee Training**
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POLICY & PROCEDURES

.0901 GENERAL

It is the policy of the Division of Prisons to provide opportunity for training for its employees that is designed to help employees develop their knowledge, skills and abilities so that they might become more proficient in the performance of the duties of their current jobs and prepare for advancement within the Division.

.0902 REFERENCES

North Carolina Administrative Code Title 12 09 G; North Carolina Office of State Personnel Policy Manual; North Carolina Department of Correction Personnel Policy Manual, North Carolina Department of Correction Office of Staff Development and Training Policy Manual; Office of Staff Development and Training Field Training Coordinator Manual, North Carolina Department of Correction Fiscal Policy Manual, American Correctional Association Manual of Standards – Central Office; American Correctional Association Manual of Standards – Adult Correctional Institutions, Fourth Edition.

.0903 RESPONSIBILITIES

Providing adequate training of Division of Prisons' employees can best be accomplished through the combined efforts of employees, supervisors, Division Management, the Office of Staff Development and Training and other sections of the Department of Correction. The following responsibilities should be recognized regarding employee training:

- (a) Employees – Division of Prisons' employees at all levels retain an obligation for their own development and education and it is expected that employees will advance their careers through appropriate self-education and self-improvement.
- (b) Managers and Supervisors – Managers and supervisors have the initial responsibility for ensuring that employees are properly trained to perform assigned job functions. In fulfilling this responsibility, managers and supervisors should identify the individual training needs of their employees and work with the employees to plan and implement needed training. Such plans may make use of on-the-job training, individual and group instruction by supervisors, formal training activities and rotational assignments to provide greater depth and a wider base of experience.
- (c) Division of Prisons – The Division of Prisons has a responsibility to ensure that employees are trained to perform assigned job functions. It is responsible for assuring that training programs geared to specific division needs are planned, budgeted and provided and that its employees participate in these programs. The Division of Prisons

works closely with the Office of Staff Development and Training, other sections of the Department of Correction and the Office of State Personnel and utilizes to the fullest degree possible State universities, community colleges and the Department of Public Instruction in securing professional, management and vocational training to meet the training needs of its employees.

.0904 COORDINATION AND SUPERVISION OF TRAINING

- (a) The overall coordination and supervision of training for the employees of the Division of Prisons shall be the responsibility of the Division Operations Manager for Training.
- (b) The Division Operations Manager for Training shall be assisted in the coordination of the training by Central Office Section Managers, Regional Training Coordinators and the institution Correctional Training Specialists, staff of the North Carolina Department of Correction's Office of Staff Development and Training, staff of the North Carolina Justice Academy and staff of the various member institution of the North Carolina Community College System.
- (c) At a minimum, the Division Operations Manager for Training, Regional Training Coordinators and Institution Training Specialists shall have completed the North Carolina Criminal Justice Education and Training Standards Commission's General Instructor Training course or have equivalent education and training experience.
 - (1) **TRAINING PLAN** - A comprehensive division wide staff development and training plan will be developed, evaluated and updated annually based on current job-related training needs. The training plan is to be developed by the In-Service Training Committee which is lead by the Division Operations Manager for Training. Members of this committee will consist of the Regional Training Coordinators, Institution Correctional Training Specialists, representatives of each major section of the DOP Central Office, and staff of the North Carolina Department of Correction's Office of Staff Development and Training. Consideration should be given to position requirements, professional development needs, current correctional issues, and new techniques and technology. The Division Training Committee shall meet at least quarterly and written records of these meetings shall be forwarded to the Director of Prisons with a recommendation for appropriate action or remedy.
 - (2) **TRAINING**
 - (A) **Orientation** - all new employees of the Division of Prisons shall receive a minimum of forty (40) hours formalized orientation prior to receiving a job assignment. The sophistication level and amount of training should be based on the employee's need to know and their job assignment. At a minimum this training should include:

- DOC New Employee Orientation to include responsibilities and rights of employees
- Purpose, goals, policies & procedures of the Division of Prisons and the facility
- A general overview of the field of corrections
- Universal precautions and hazardous materials communication
- Occupational exposure, blood borne pathogens precautions, and personal protective equipment
- Lock-out, tag-out
- Fire safety
- Self injurious behavior prevention
- Staff-inmate relations – professional boundaries
- Unlawful workplace harassment
- Prison Rape Elimination Act orientation
- Security and Contraband control regulations and practices
- Hostage situations
- Emergency procedures
- Tool and key control
- Ethics and Professional Conduct
- Orientation to Individualized job Responsibilities*

In addition to this class, all new employees in job classes certified as State Correctional Officers by the North Carolina Criminal Justice Education and Training Standards Commission shall receive the initial pepper spray (OC) training.

- (B) Correctional Officer Basic Training– each newly hired State Correctional Officer (see Attachment A) is required by the North Carolina Criminal Justice Education and Training Standards Commission to complete the 160 hour Correctional Officer Basic Training course within twelve (12) months of employment. This course of instruction is developed by the Office of Staff Development and Training and approved by the North Carolina Criminal Justice Education and Training Standards Commission. At a minimum, this training covers the following areas:

- Security procedures
- Supervision of offenders
- Suicide intervention/prevention
- Use of force
- Offender rules and regulations
- Safety procedures
- Key control
- Interpersonal relations
- Communication skills

- Cultural awareness
- Sexual abuse/assault
- Code of ethics
- Control, Restraints, Defensive Techniques Fire safety
- CPR/First Aid
- Straight baton
- Report writing
- Security threat groups
- Contraband control
- Tool and key control
- Emergency plans/procedures
- Firearms training and qualification

Institutions should refer to the Office of Staff Development and Training's Field Training Coordinators' Manual for procedures relating to the Correctional Officer Basic Training.

An employee who fails to demonstrate competency in any of the psychomotor skills courses (firearms qualification scores, proficiency testing for CRDT and CPR) during the Correctional Officer Basic Training shall return to the assigned facility for remedial training. The employee who fails to demonstrate competency in any of the psychomotor skills will not be permitted to sit for the Correctional Officer Basic Training Examination. After the employee has demonstrated competency during remediation, he/she shall be scheduled to attend that portion of the Correctional Officer Basic Training. If the employee demonstrates competency in the psychomotor skills at this time, he/she shall be permitted to sit for the Correctional Officer Basic Training Examination. If at this time the employee fails to demonstrate competency in the required psychomotor skills, he/she shall be scheduled to complete the Correctional Officer Basic Training in its entirety. If the employee fails to demonstrate competency during the second session of the Correctional Officer Basic Training, his/her employment shall be terminated.

An employee who fails to attain a passing score on the Correctional Officer Basic Training Examination shall return to the assigned facility for remedial training in the subject matter of the basic training course. After the remediation, the employee shall be scheduled to sit for the Correctional Officer Basic Training Examination for the second time. If the employee fails to attain a passing score on this examination, he/she shall be scheduled to complete the Correctional Officer Basic Training in its entirety. If the employee fails to attain a passing score on the Correctional Officer Basic Training at the conclusion of this session of the

Correctional Officer Basic Training, his/her employment shall be terminated.

(C) Annual In-Service Training for Certified Correctional Officers

After the first year of employment, Certified State Correctional Officers shall receive a minimum of forty (40) hours in-service training **each year**. This training shall include but not be limited to the following:

- Firearms (including law & policy, safety, and qualification)
- Security/safety/fire/medical emergency procedures
- Supervision of offenders including training on sexual abuse and assault
- Control, Restraints, Defensive Techniques (4-4090)
- Fire safety
- Blood borne pathogens
- Self-injurious behavior prevention
- OC (pepper spray refresher) (4-4092)
- CPR (bi-annual)
- Straight baton
- Safe search practices
- Staff Inmate Relations – Undue Familiarity
- Unlawful Workplace Harassment
- Ethics and Professional Conduct

(i) Firearms training and re-qualification – Employee who have not qualified with the firearms within the past 12 months shall not be issued a firearm except for the purpose of training and re-qualification. Every employee in a certified position within the Division of Prisons is required to successfully re-qualify annually with the Division’s designated weapons (handgun, rifle, and shotgun).

(ii) A certified employee may attempt up to three (3) re-qualification courses of fire on any given day for each weapon (maximum of 150 rounds for handgun, 21 rounds for shotgun, 30 rounds for rifle). Three (3) re-qualification attempts in one day constitute a session.

(iii) If, at the end of the first re-qualification session, the certified employee has failed to successfully re-qualify, the failed attempt will be documented in the employee’s current performance appraisal. The employee must be informed of the consequences of further failure as outlined in these procedures. The employee must also be provided mandatory remedial training and then rescheduled for re-qualification training. If, at the end of the second re-

qualification session, the certified employee has again failed to successfully re-qualify, the Facility Head or his designee will issue a written warning and the employee will be provided mandatory remedial training and then rescheduled for re-qualification training. If, at the end of the third re-qualification session, the certified employee has again failed to successfully re-qualify, the Facility Head or his designee will issue a second written warning and the employee will be provided mandatory remedial training and then rescheduled for re-qualification training. If, at the end of the fourth re-qualification session, the certified employee has again failed to successfully re-qualify, the Facility Head in accordance with Department Personnel Policy may dismiss the employee for unsatisfactory job performance.

- (iv) All attempts to re-qualify should be completed within four (4) months of the initial re-qualification failure.

(D) Annual In-Service Training for Managerial, Administrative, Support, and Professional Specialist Employees

In addition to the minimum 40 hour orientation, all managerial, administrative, support, and professional specialist employees shall receive an additional forty (40) hours training during the first year of employment and (40) hours in-service training each year thereafter, in areas relevant to their position. This training should include but not be limited to:

- Fire safety
- Unlawful Workplace Harassment
- Contraband Control
- Staff Inmate Relations – Undue Familiarity
- Ethics and Professional Conduct
- Emergency procedures
- Blood borne pathogens
- Self-injurious behavior prevention

In addition to training conducted by the Department, training that is related to the job responsibilities may be received from other sources such as the Office of State Personnel, the member institutions of the Division of Community Colleges, the North Carolina Board of Nursing, the local Area Health Education Centers and professional associations/organizations.

(E) Annual In-Service Training for Clerical/Support Employees Who Have Minimal Inmate Contact - Employees whose job responsibilities require only minimal inmate contact shall receive 16 hours of training during the first year of employment over and above the forty (40) hour orientation

and sixteen (16) hours of in-service training each year thereafter. This training should include but not be limited to:

- Fire safety
- Contraband control
- Emergency procedures
- Unlawful Workplace Harassment
- Staff Inmate Relations – Undue Familiarity
- Ethics and Professional Conduct
- Blood borne Pathogens

In addition to training conducted by the Department, training related to the job responsibilities may be received from other sources such as the North Carolina Justice Academy, the Office of State Personnel, the member institutions of the Division of Community Colleges, professional associations/organizations.

- (F) Part-time and contractual employees shall receive formal orientation appropriate to their assignments and will receive additional training as needed. This training should include but not be limited to:

- Fire safety
- Contraband control
- Emergency procedures
- Staff –inmate relations – professional boundaries
- Prison Rape Elimination Act Orientation

- (G) Evaluation of Training - The Quality Assurance Manager of the Office of Staff Development and Training is responsible for the evaluation of all orientation, basic, and in-service training conducted by divisions of the North Carolina Department of Correction and is responsible for the preparation of written reports annually to be submitted to the Director of Prisons.

- (H) Instructors - Employees who instruct in accredited training classes shall have completed, at a minimum, the (80) hour General Instructor Training course as approved by the North Carolina Criminal Justice Education and Training Standards Commission.

In addition, employees who instruct in the Correctional Firearms; Control, Restraints, Defensive Techniques; Straight Baton, OC Spray; Chemical Munitions; Unlawful Workplace Harassment; Blood-borne Pathogens; Staff-Inmate Relations, CPR shall have completed specialized instructor training prior to instructing in these courses.

(I) Training Conducted by Agencies External to the Department of Correction

Employees are encouraged to utilize the resources of agencies external to the Department of Correction to attend approved professional meetings, seminars, training, and similar work-related activities. Agencies such as the National Institute of Corrections, the American Correctional Association, the U. S. Department of Justice, the North Carolina Office of State Personnel, the North Carolina Justice Academy, the North Carolina Board of Nursing, the Area Health Education Centers, the member institutions of the North Carolina Division of Community Colleges and various other professional organizations and associations offer training that is appropriate for Division of Prisons employees.

Prior to seeking approval for participation in seminars, workshops, etc. conducted or sponsored by agencies external to state governmental agencies, employees are responsible for exhausting the resources of the Division of Prisons, the Office of Staff Development and Training, other sections of the Department of Correction, the Office of State Personnel, the Department of Public Instruction, the North Carolina Justice Academy, member institutions of the Department of Community Colleges and the state university system. Prior approval must be obtained before employees attend any training seminars, workshops or conferences conducted by agencies external to the Department of Correction.

Employees in job classifications that require licensure or certification are responsible to ensure that such licensure or certification is kept current. Employees attending workshops, seminars, etc. for the sole purpose of obtaining Continuing Education Units (CEU's) to maintain licensure or certification are responsible for the expenses of such workshops, seminars, etc. The Division of Prisons may grant training leave to attend these activities. Employees attending workshops, seminars, etc. which award CEU's and the content of which is directly related to maintaining or improving knowledge, skills and/or abilities of the current job may be reimbursed for expenses incurred for the training.

The Division of Prisons will reimburse expenses consistent with current fiscal policy for employees to attend workshops, seminars, etc. which are conducted by organizations external to state agencies to correct documented performance deficiencies (rating of Below Good or Unsatisfactory on the most recent work performance appraisal) when it is determined that (1) the deficiency can be corrected by training and (2) there are no essentially similar training programs offered by state agencies, including member institution of the community college system.

The Division of Prisons may reimburse expenses consistent with current fiscal policy for employees to attend job-related workshops, seminars, etc. designed to maintain or improve the knowledge, skill and ability of the

current job that are conducted by organizations external to state agencies when deemed appropriate by the supervisor(s); however, there is no stated or implied obligation to do so.

The procedures for requesting approval for training conducted by agencies external to the Department of Correction are in Attachment B.

- (J) The Division of Prisons encourages membership and participation in criminal justice and allied professional associations and activities.

Providing an opportunity for the exchange of information and networking with other professionals in the correctional arena can best be accomplished by participation in job-related professional associations and organizations.

The following responsibilities should be recognized regarding employee membership and participation in professional associations and organizations:

- (i) *Employees* – Division of Prisons' employees are responsible for any and all expenses associated with membership in any professional association or organization.

Employees may be approved to participate in leadership roles of professional organizations associated with the Department. Total participation in all organizations for all purposes (boards, committees, training conferences, etc.) is limited to a cumulative maximum of 10% (208 hours) of the employees work time, unless vacation or other appropriate leave is used. Leave request will be considered/approved by the employees' Section Manager/Facility Head in advance of the event. Employees must understand that their leave cannot be approved if their absence impedes the progress of the work unit.

Any request for participation in activities associated with professional organizations in excess of the 10% limit must be referred to the Chief Deputy Secretary for review and final decision.

Employees must not commit to serve on boards or committees or to hold office in professional associations or organizations that will require the expenditure of state funds without the express written approval of the Director of Prisons or his/her designee.

Employee participation in committee meetings, planning meetings, work groups, etc. for a professional association or organization is not training and should not be documented as such in the employee time records.

- (ii) *Managers and Supervisors* – Managers and supervisors should encourage and support employee membership and participation in job-related professional associations and organizations.
- (iii) *Division of Prisons* –The Division of Prisons encourages and supports employee membership and participation in job-related professional associations and organizations. The Division of Prisons has no obligation to provide financial support to any professional association or organization or to any member thereof.

The Division of Prisons may approve reimbursement of expenses consistent with current fiscal policy for employee members to attend conferences, seminars or workshops sponsored by job-related professional associations and organizations at the regional, state or national level; however, there is no stated or implied obligation to do so.

- (K) Employees are also encouraged to take advantage of available library and reference services to complement the training and staff development program. Agencies such as the National Institute of Corrections, the American Correctional Association, the U. S. Department of Justice, the North Carolina Office of State Personnel, the North Carolina Justice Academy, the North Carolina Board of Nursing, the Area Health Education Centers, the member institutions of the North Carolina Division of Community Colleges, the State University System, and various other professional organizations and associations offer library and reference material that is appropriate for Division of Prisons employees.

 10-05-07

Director of Prisons

Date

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ATTACHMENT A
CERTIFIED STATE CORRECTIONAL OFFICER JOB CLASSIFICATIONS

Correctional Officer Trainee (Probationary Certification)

Correctional Officer

Lead Correctional Officer

Correctional Sergeant

Correctional Lieutenant

Correctional Captain

Correctional Assistant Unit Manager

Correctional Unit Manager

Correctional Case Manager

Correctional Programs Supervisor

Correctional Food Service Officer

Correctional Food Service Manager I, II, III, IV

Correctional Assistant Superintendent

Assistant Correctional Superintendent for Programs I, II

Assistant Correctional Superintendent for Custody and Operations I, II

Correctional Superintendent I, II, III, IV

Correctional Administrator I

Deputy Prison Warden I, II

Prison Warden I, II

Associate Prison Warden

ATTACHMENT B
PROCEDURES FOR REQUESTING TRAINING EXTERNAL TO THE DEPARTMENT

In-state training with no request for reimbursement of expenses:

Seminars, workshops and/or professional associations or conferences conducted by agencies external to the Department of Correction for which there is no expense involved or for which the employee pays the associated costs without expectation of reimbursement. Use of a state-owned vehicle may be authorized. Note that participation in committee meetings and/or workgroups is not training.

1. Submission of Employee Training Request (OSDT-2):

The Employee Training Request (OSDT-2 rev. 01/06) must be submitted along with supporting documents (See Step 2 on the reverse of OSDT-2) to the approving authority at least seven working days prior to the date of the training.

For purposes of these training requests, the Approving Authorities are: (1) Correctional Facility employees – Region Director or Designee; (2) DOP Region Office employees – Region Director; (3) Division of Prisons Administration Section employees – Section Manager.

2. Review and approval of Employee Training Request (OSDT-2)

The Approving Authority will review the request to determine the timeliness of the request, the appropriateness of the training and the impact of the employee's absence on the operation of the facility. Any concerns regarding the appropriateness of the training should be referred to the appropriate DOP Administration Section Manager for consultation.

Upon approval of the Employee Training Request, the Approving Authority shall provide the requesting employee a Training Evaluation (OSDT-29A) which gives the title and date of the training. The Approving Authority shall sign the Employee Training Request (OSDT-2) for the Division Head and return the OSDT-2 to the employee. A copy of the approved OSDT-2 shall be included with the employee's time report to document approval of the training leave.

Disapproval of the Employee Training Request shall require notification to the employee by the Approving Authority by signing the OSDT-2 for the Division Head and writing "Disapproved" in the comments section.

3. Documentation of training

Upon completion of the training, the employee shall complete the Training Evaluation (OSDT-29A) attach it to the previously approved OSDT-2 and submit the completed forms to the In-Service Section of the Office of Staff Development and Training.

NOTE: No training credit will be posted until receipt of the complete package (OSDT-2 with supporting documents, OSDT-29A).

Out-of-state training and/or In-state training requesting reimbursement of expenses:

All seminars, workshops and/or professional associations or conferences conducted outside the state of North Carolina whether or not there are associated reimbursable expenses and/or in-state seminars,

workshops and/or professional associations or conferences conducted by agencies external to the Department of Correction for which there is expense involved for registration, meals and/or lodging for which the employee has expectation of reimbursement. Note that participation in committee meetings and/or workgroups is not training.

1. Submission of Employee Training Request (OSDT-2):

The Employee Training Request (OSDT-2 rev. 01/06) must be submitted along with supporting documents (see Step 2 on the reverse of OSDT-2) through the appropriate chain of command to the Division of Prisons Training Coordinator allowing sufficient time for review and approval prior to the beginning of the training. Instructions on the reverse of the OSDT-2 request 30 working days prior to the date of the training. Employees must complete the information required by Notes 1-4 as appropriate

2. Review and approval of Employee Training Request (OSDT-2)

The Division Operations Manager -Training will review the request to determine the timeliness of the request, the appropriateness of the training, the availability of funds and compliance with the Division of Prisons Policy and fiscal policy. Concerns regarding the appropriateness of the training should be referred to the appropriate DOP Administration Section Manager for consultation.

Upon approval of the Employee Training Request by the Director of Prisons, the Division Operations Manager -Training shall forward the OSDT-2 to the Office of Staff Development and Training's. Requests for training requiring out of state travel and/or reimbursement of expenses in excess of \$1,000 require approval from the Office of the Secretary of Correction.

The Office of Staff Development and Training will prepare and distribute the official approval of the training request.

Unless otherwise notified, the employee requesting the training shall be responsible for submission of registration fees, arranging lodging accommodations and making transportation arrangements. All airline reservations must be made through the Department of Correction's Controller's Office.

Disapproval of the Employee Training Request at any level shall require notification to the employee by signing the OSDT-2 for the Division Head and writing "Disapproved" in the comments section.

3. Documentation of training

Upon completion of the training, the employee shall complete the Training Evaluation (OSDT-29A) and submit the completed form to the OSDT In-Service Training Manager.

A copy of the Approval of Training provided by the Office of Staff Development and Training should be provided to the employee for inclusion with the Employee Time Report to document approval of Training Leave.

NOTE: No training credit will be posted until receipt of the completed Training Evaluation (OSDT-29A).

Reimbursement of expenses:

Approved expenses will be reimbursed consistent with Fiscal Policy .1400.